

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)  
327F USC2

Applicant or Patentee: Dennis A. Holt, Terence P. Keenan, Tao Guo, Edgardo Laborde, and Wu Yang

Serial or Patent No.: Unknown

Filed or Issued: Herewith

Title: SYNTHETIC MULTIMERIZING AGENTS

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN ARIAD Gene Therapeutics, Inc

ADDRESS OF SMALL BUSINESS CONCERN 26 Landsdowne Street, Cambridge, MA 02139-4234

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for the purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For the purposes of this statement, (1) the number of employees of the business concern is the average of the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☒ the specification filed herewith with title as listed above.

☐ the application identified above.

☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

☒ no such person, concern or organization exists.

☐ each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 128(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief and believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING David L. Berstein

TITLE OF PERSON IF OTHER THAN OWNER Sr. Vice President - Chief Patent Counsel

ADDRESS OF PERSON SIGNING 26 Landsdowne Street, Cambridge, MA 02139-4234

SIGNATURE

David L. Berstein

DATE

2/28/02

I hereby certify that this paper is being deposited with the United States Postal Service "First Class Mail" on the date indicated below and is addressed to the Commissioner of Patents and Trademarks, Box Assignments, Washington, DC 20231

Date 3-2-01

Signed See Wilson

### ASSIGNMENT

We, Dennis A. Holt of 111 Brooke Drive, Royersford, PA 19468, Terence P. Keenan of 62 Spring Street, Apt. 1L, Cambridge, MA 02141, Tao Guo of 1606 Dahlia Circle, Dayton, NJ 08810, Edgardo Laborde of 799 Pitcairn Drive, Forest City, CA 94404 and Wu Yang of 8 Heritage Boulevard, Princeton, NJ 08540 in consideration of good and valuable consideration paid to us by ARIAD Gene Therapeutics, Inc., a corporation of the state of Delaware, having its principal place of business at 26 Landsdowne Street, Cambridge, MA 02139, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said

### **ARIAD Gene Therapeutics, Inc.**

Its successors and assigns, the entire interest for the United States of America and all foreign countries, including rights of priority under the international convention for the protection of industrial property in a certain invention relating to

### *Synthetic Multimerizing Agents*

Described in patent application serial no. 09/690,581 filed on 17 October 2000 in the United States Patent and Trademark Office, and in all letters patent of the United States and all foreign countries which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuing, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executors and administrators, with said corporation and its successors and assigns, but at its or their expense and charges, hereafter to execute all applications, amended specifications, deed or other instrument, and to do all acts necessary or proper to secure the grant of letters patent in the United States and in all other countries to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such letters patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

Witness my hand this 23 day of JANUARY, 2001.

By: Dennis A. Holt

Dennis A. Holt

The above named Dennis A. Holt executed this document in my presence, this 23 day of JANUARY, 2001.

William E. Bondinell

Witness signature

William E. Bondinell

Witness name (please print)

10086770-022802

Witness my hand this 23 day of February, 2001.

By: \_\_\_\_\_

Terence P. Keenan

The above named Terence P. Keenan executed this document in my presence, this 23 day of February, 2001.

Sue Wilson

Witness signature

SUE WILSON

Witness name (please print)

Witness my hand this 19<sup>th</sup> day of January, 2001.

By: \_\_\_\_\_

Tao Guo

The above named Tao Guo executed this document in my presence, this 19<sup>th</sup> day of January, 2001.

Lu Jian Li

Witness signature

LU JIAN LI

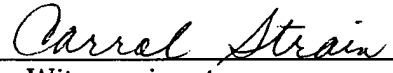
Witness name (please print)

10086770-0228001

Witness my hand this 29 day of January, 2001.

By:   
Edgardo Laborde

The above named Edgardo Laborde executed this document in my presence, this 29<sup>th</sup> day of January, 2001.

  
Witness signature  
Carrol Strain  
Witness name (please print)

Witness my hand this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

By: \_\_\_\_\_  
Wu Yang

The above named Wu Yang executed this document in my presence, this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

\_\_\_\_\_  
Witness signature  
\_\_\_\_\_  
Witness name (please print)

1008670-022802

I hereby certify that this paper is being deposited with the United States Postal Service "First Class Mail" on the date indicated below and is addressed to the Commissioner of Patents and Trademarks, Box Assignments, Washington, DC 20231

Date 3-2-01

Signed Sue Lailson

### ASSIGNMENT

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### **ARIAD Gene Therapeutics, Inc.**

Its successors and assigns, the entire interest for the United States of America and all foreign countries, including rights of priority under the international convention for the protection of industrial property in a certain invention relating to

### *Synthetic Multimerizing Agents*

Described in patent application serial no. 09/690,581 filed on 17 October 2000 in the United States Patent and Trademark Office, and in all letters patent of the United States and all foreign countries which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuing, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executors and administrators, with said corporation and its successors and assigns, but at its or their expense and charges, hereafter to execute all applications, amended specifications, deed or other instrument, and to do all acts necessary or proper to secure the grant of letters patent in the United States and in all other countries to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such letters patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

Witness my hand this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

By: \_\_\_\_\_  
Dennis A. Holt

The above named Dennis A. Holt executed this document in my presence, this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

\_\_\_\_\_  
Witness signature

\_\_\_\_\_  
Witness name (please print)

20000909 09:22:00

Witness my hand this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

By: \_\_\_\_\_  
Terence P. Keenan

The above named Terence P. Keenan executed this document in my presence, this \_\_\_\_\_ day  
of \_\_\_\_\_, 2001.

\_\_\_\_\_  
Witness signature

\_\_\_\_\_  
Witness name (please print)

Witness my hand this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

By: \_\_\_\_\_  
Tao Guo

The above named Tao Guo executed this document in my presence, this \_\_\_\_\_ day of  
\_\_\_\_\_, 2001.

\_\_\_\_\_  
Witness signature

\_\_\_\_\_  
Witness name (please print)

10086770-022802

Witness my hand this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

By: \_\_\_\_\_  
Edgardo Laborde

The above named Edgardo Laborde executed this document in my presence, this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

\_\_\_\_\_  
Witness signature

\_\_\_\_\_  
Witness name (please print)

Witness my hand this 29th day of Jan., 2001.

By: Wu Yang  
Wu Yang

The above named Wu Yang executed this document in my presence, this 29th day of January, 2001.

Chongqing Sun  
Witness signature

CHONGQING SUN  
Witness name (please print)

10086770-022802

**DECLARATION FOR UTILITY OR  
DESIGN PATENT APPLICATION**

DECLARATION SUBMITTED WITH INITIAL FILING

☒ DECLARATION SUBMITTED AFTER INITIAL FILING

Attorney docket number: 327F USC1  
First Named Inventor: Holt  
Application No: 09/690,581  
Filing Date: October 17, 2000  
Group Art Unit:  
Examiner Name:

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am one of the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled SYNTHETIC MULTIMERIZING AGENTS, the specification of which

[X] was filed on October 17, 2000 as Application Serial No. 09/690,581.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, CFR 1.56(a).

I hereby claim the benefit under Title 35, USC 119(e) of any United States provisional application(s) listed below

<u>Number</u>	<u>Filing Date</u>
60/012,432	28 February 1996
60/024,861	28 August 1996
60/033,035	10 December 1996

I hereby claim the benefit under Title 35, USC 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, USC 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulation, 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Appln. Ser. No.</u>	<u>Filing Date</u>	<u>Status</u>
08/793,016	01 December 1997	Pending
08/808,276	28 February 1997	Issued
08/808,274	28 February 1997	Issued
08/479,694	07 June 1995	Abandoned
08/292,598	18 August 1994	Abandoned

As a named inventor, I hereby appoint each of the following to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

David L. Bernstein, Registration No. 31,235

of: ARIAD Gene Therapeutics, Inc.  
26 Landsdowne Street  
Cambridge, Massachusetts 02139-4234  
Telephone: 617-494-0400 Ext. 266 / Facsimile: 617-494-0208

10086770-0228007



Direct all correspondence to:

David L. Bernstein  
ARIAD Gene Therapeutics, Inc.  
26 Landsdowne Street  
Cambridge, Massachusetts 02139-4234  
Telephone: 617-494-0400 Ext. 266 / Facsimile: 617-494-0208

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Dennis A. Holt  
Inventor's signature Dennis A. Holt Date 1/23/01  
Residence 111 Brooke Drive, Royersford, PA 19468 USA  
Post Office Address Same  
Citizenship US

Full name of second inventor Terence P. Keenan  
Inventor's signature Terence P. Keenan Date 2/23/01  
Residence 62 Spring Street, Apt. 1L, Cambridge, MA 02141 USA  
Post Office Address Same  
Citizenship US

Full name of third inventor Tao Guo  
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 1606 Dahlia Circle, Dayton, NJ 08810 USA  
Post Office Address Same  
Citizenship CN

2008220 "0" 022802

Full name of fourth inventor Edgardo Laborde

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 799 Pitcairn Drive, Forest City, CA 94404 USA

Post Office Address Same

Citizenship US

Full name of fifth inventor Wu Yang

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 8 Heritage Boulevard, Princeton, NJ 08540 USA

Post Office Address Same

Citizenship US

10086770-022802

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Post Office Address Same

Citizenship US

Full name of third inventor Tao Guo

Inventor's signature  Date 1/19/01

Residence 1606 Dahlia Circle, Dayton, NJ 08810 USA

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2008220 " 07798001

Full name of fourth inventor Edgardo Laborde

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Post Office Address Same

Citizenship US

Full name of fifth inventor Wu Yang

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Citizenship US

208220"07798007

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Group Art Unit:  
Examiner Name:

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Telephone: 617-494-0400 Ext. 266 / Facsimile: 617-494-0208

10086770-0226002

Direct all correspondence to:

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ARIAD Gene Therapeutics, Inc.  
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Cambridge, Massachusetts 02139-4234  
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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

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Post Office Address Same

Citizenship US

Full name of second inventor Terence P. Keenan

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 62 Spring Street, Apt. 1L, Cambridge, MA 02141 USA

Post Office Address Same

Citizenship US

Full name of third inventor Tao Guo

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 1606 Dahlia Circle, Dayton, NJ 08810 USA

Post Office Address Same

Citizenship CN

10086770-022802

Full name of fourth inventor Edgardo Laborde

Inventor's signature \_\_\_\_\_

Date

1/29/01

Residence 799 Pitcairn Drive, Forest City, CA 94404 USA

Post Office Address Same

Citizenship US

Full name of fifth inventor Wu Yang

Inventor's signature \_\_\_\_\_

Date

Residence 8 Heritage Boulevard, Princeton, NJ 08540 USA

Post Office Address Same

Citizenship US

1008670.022802



**DECLARATION FOR UTILITY OR  
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DECLARATION SUBMITTED WITH INITIAL FILING



DECLARATION SUBMITTED AFTER INITIAL FILING

Attorney docket number: 327F USC1

First Named Inventor: Holt

Application No: 09/690,581

Filing Date: October 17, 2000

Group Art Unit:

Examiner Name:

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Telephone: 617-494-0400 Ext. 266 / Facsimile: 617-494-0208

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Direct all correspondence to:

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ARIAD Gene Therapeutics, Inc.  
26 Landsdowne Street  
Cambridge, Massachusetts 02139-4234  
Telephone: 617-494-0400 Ext. 266 / Facsimile: 617-494-0208

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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 111 Brooke Drive, Royersford, PA 19468 USA

Post Office Address Same

Citizenship US

Full name of second inventor Terence P. Keenan

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 62 Spring Street, Apt. 1L, Cambridge, MA 02141 USA

Post Office Address Same

Citizenship US

Full name of third inventor Tao Guo

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 1606 Dahlia Circle, Dayton, NJ 08810 USA

Post Office Address Same

Citizenship CN

203220" 07/29/00T

Full name of fourth inventor Edgardo Laborde

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 799 Pitcairn Drive, Forest City, CA 94404 USA

Post Office Address Same

Citizenship US

Full name of fifth inventor Wu Yang

Inventor's signature Wu Yang Date 1/29/2001

Residence 8 Heritage Boulevard, Princeton, NJ 08540 USA

Post Office Address Same

Citizenship US

1008670.022802

Form PTO 1595

US Dept. of Commerce  
Patent and Trademark Office

327F USC1

# RECOI



101644892

PATENTS ONLY

To the Hon. Commissioner of Patents & Trademarks: Please record the attached original documents or copies thereof.

**1. Name of conveying party(ies):**

**Dennis A. HOLT**  
**Terence P. KEENAN**  
**Tao GUO**  
**Edgardo LABORDE**  
**Wu YANG**

3-5-01

Additional name(s) of conveying parties attached? ☐yes ☒no

2. Name and address of receiving party(ies):

Name: **ARIAD Gene Therapeutics, Inc.**

Internal Address: **26 Landsdowne Street**

Street Address: **26 Landsdowne Street**

City: **Cambridge** State: **MA** Zip: **02139**

Additional names attached? ☐ Yes ☒ No

### 3. Nature of conveyance:

☒ **Assignment**                      ☐ Merger  
☐ Security Agreement                ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: January 23, 2001, February 23, 2001,  
January 19, 2001, January 29, 2001, January 29, 2001

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